Identifying Authorship: How difficult can it be?
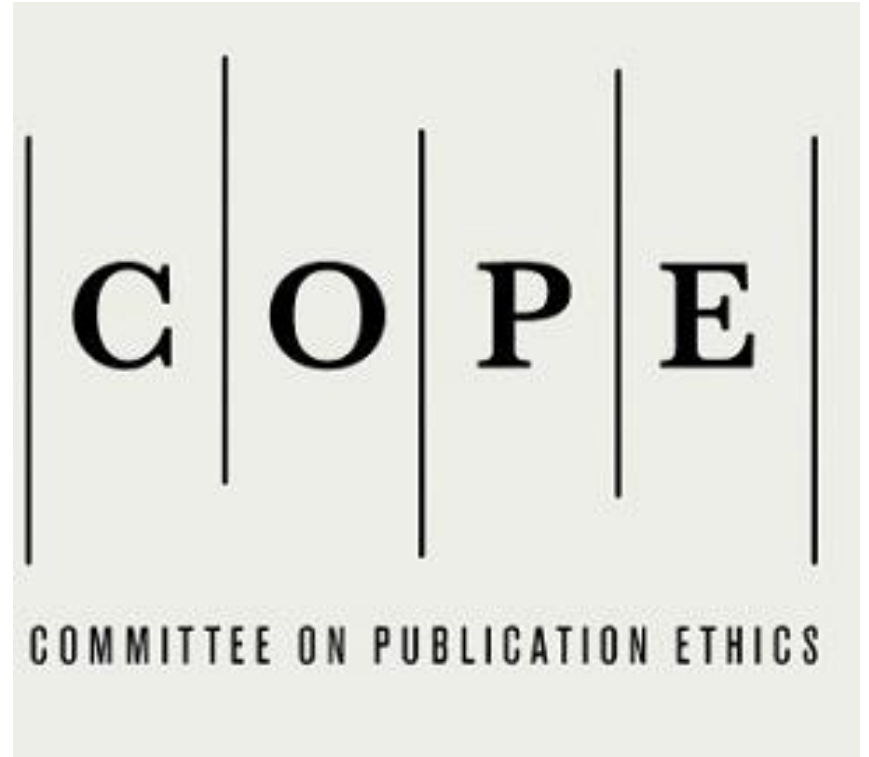
Mark **Israel**, Beijing, March 26, 2017

马克·**伊瑟利**

Australasian Human Research Ethics Consultancy Services (AHRECS)

http://cdn.static-economist.com/sites/default/files/imagecache/full-width/images/print-edition/20161126_BKP003_0.jpg

COMMITTEE ON PUBLICATION ETHICS

What is authorship?

What constitutes authorship?

From COPE Discussion Document (2014)

- Authorship can refer to the
  - Creator or originator of an idea
  - Those who develop product that disseminates intellectual or creative works

- Authorship conveys significant privileges, responsibilities, and legal rights

- Forms basis for rewards and career advancement in academia

C|O|P|E   COMMITTEE ON PUBLICATION ETHICS

What constitutes authorship? COPE Discussion Document

COPE Council
9 June 2014

Why does it matter?

Performance

Jobs

Grants

Rankings

Prestige

International Committee of Medical Journal Editors (2013) **four** conditions be met before someone be included as an author…

1. Substantial contributions to
   a. the **conception** or **design** of the work; or
   b. the acquisition, analysis, or interpretation of **data** for the work; AND

2. **Drafting** the work or **revising** it critically for important intellectual content; AND

3. Final **approval** of the version to be published; AND

4. Agreement to be **accountable** for all aspects of the work in ensuring that questions related to the accuracy or integrity of any part of the work are appropriately investigated and resolved.

approval

accountable data

writing

BUT

Not everyone agrees that it has to be *all* 4!

Some authors will not have the **technical or linguistic expertise** to understand the contributions of other authors
> Multidisciplinary
> Multinational

Some papers are created by **multiple teams** combining data and analyses which result in huge numbers of authors
> One high energy physics paper had 2080 authors!

Some fear that **'final approval' process may be manipulated** to exclude junior researchers who otherwise meet the definition

https://artblart.files.wordpress.com/2014/04/caiguo-qiang_heritage_2013_2web.jpg

China Association for Science & Technology (CAST)

China Association for Science and Technology

- Five Codes of Conduct for Authors Publishing in International Journals

1. Do not engage a **third party** (defined as any individual or organization other than the author) for **ghost-writing** services. Researchers should be the bona fide authors of their papers based [on] research conducted by themselves with real experimental data.

2. Do not engage a **third party to submit a paper** on the author's behalf. Researchers should have a sound understanding and clear knowledge of the submission process for international academic journals, and are responsible for the direct submission of their own papers and subsequent feedback engagement with the reviewers.

3. Do not entrust **third parties to revise the content** of authors' papers. Researchers can engage the services of third parties to proofread and refine the language based on the original content that authors develop. Third parties should not be engaged to revise research content in the guise of proofreading or language refinement.

4. Do not engage in **identity fraud and/or falsify information of author-suggested reviewers**. Researchers have a responsibility to ensure that the identities and contact information of all suggested reviewers are real when required by the journal editors. Researchers should not engage in fraudulent behavior of or manipulate the peer review process.

5. **Do not violate the ethical standards and responsibilities required of authors**. Authors should review their articles and agree to publish their papers prior to submission. All researchers that are named in an article must have contributed substantially to the research.

- http://www.cast.org.cn/n35081/n35096/n10225918/16823889.html
- Translated by https://www.elsevier.com/connect/china-reigns-in-on-identity-fraud-over-concerns-of-author-reviewer-authenticity

China Association for Science & Technology (CAST)

1. **不由"第三方"代写**论文。科技工作者应基于自身研究工作和真实的实验数据完成论文撰写，坚决抵制**"第三方"提供**论文代写服务。

2. **不由"第三方"代投**论文。科技工作者应学习、掌握国际学术期刊投稿程序，亲自完成提交论文、回应评审意见的全过程，坚决抵制**"第三方"提供**论文代投服务。

3. **不由"第三方"**对论文内容进行修改。论文作者委托**"第三方"**进行论文语言润色，应基于作者完成的论文原稿，且仅限于对语言表达方**式的完善**，坚决抵制以语言润色的名义修改论文的实质内容。

4. **不提供虚假同行**评审人信息。科技工作者在国际学术期刊发表论文**如需推荐同行**评审人，应确保所提供的评审人姓名、联系方式等信**息真**实可靠，坚决抵制同行评审环节的任何弄虚作假行为。

5. **不违反论文署名规范。所有论文署名作者应事先审阅并同意署名发表论文，并对论文内容负有知情同意的责任；论文起草人必须事先征求署名作者对论文全文的意见并征得其署名同意。论文署名的每一位作者都必**须对论文有实质性学术贡献，坚决抵制无实质性学术贡献者在论文上署名。（潘希）

- http://www.cast.org.cn/n35081/n35096/n10225918/16823889.html

China Association for Science & Technology (CAST)

- 1. ...Researchers should be the **bona fide authors** of their papers **based on research conducted by themselves**...

- 不由"第三方"代写论文。科技工作者应基于自身研究工作和真实的实验数据完成论文撰写，坚决抵制"第三方"提供论文代写服务。

- http://www.cast.org.cn/n35081/n35096/n10225918/16823889.html

China Association for Science & Technology (CAST)

- 5. **All researchers that are named in an article must have contributed substantially to the research**.

- **不**违反论文署名规范。所有论文署名作者应事先审阅并同意署名发表论文，并对论**文内容**负有知情同意的责任；论文起草人**必**须事先征求署名作者对论文全文的意见**并征得其署名同意**。论文署名的每一位作**者都必**须对论文有实质性学术贡献，坚决**抵制无**实质性学术贡献者在论文上署名。（**潘希**）

- http://www.cast.org.cn/n35081/n35096/n10225918/16823889.html

Internationally

Long-standing concerns that the names that appear at the top of an article do not reflect the true authorship, because…
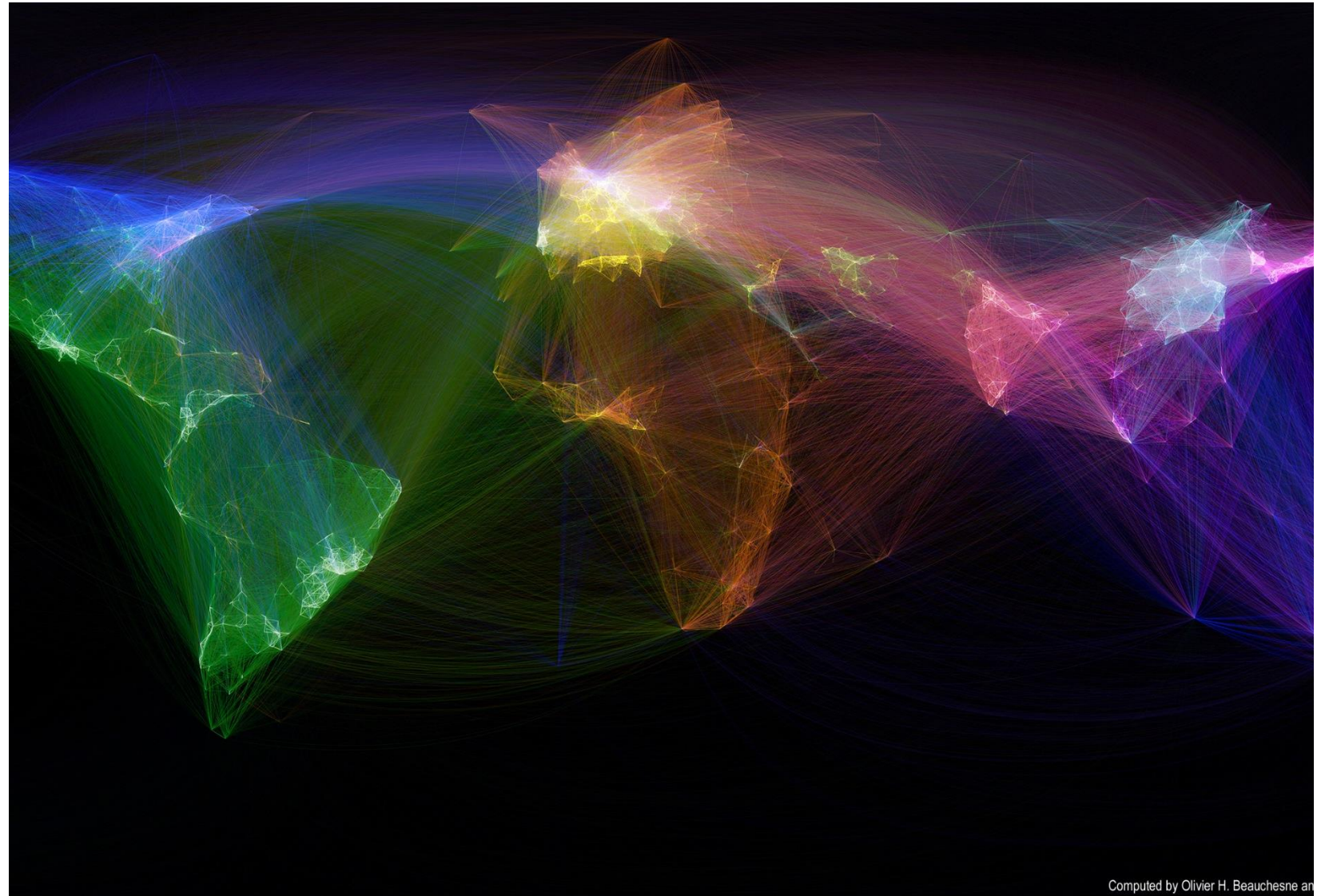
Computed by Olivier H. Beauchesne an

Gift, honorary or prestige authorship

Someone who has insignificant involvement has been added

Ghost authorship

Junior staff who made significant contributions have been omitted ('White bull effect')

Both

Disguising origins of papers

- Ghostwriting by industry to promote product
- Contracting out writing
- Exploitation of junior staff

Where do problems arise for editors?

- *For editors, problems commonly stem from*

1. *People who claim that they deserve to be authors but have been* **omitted** ✓

2. *People who have been* **included** *as authors but without their consent*

3. *Individuals who agree to be authors but who* **back away from responsibility** *if something goes wrong*

4. **Confusion over multiple authorship**

COPE COMMITTEE ON PUBLICATION ETHICS

Home   About COPE   Resources   Cases
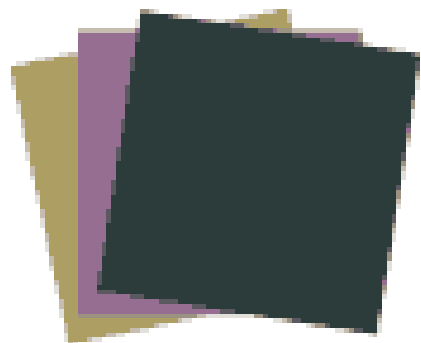
Home Authorship

Cases

Showing 1–25 of **111** results.

Are there problems in China?

- Survey by the Chinese Association of Science and Technology (CAST) (2013) of 33,000 respondents
  - 50.1% reported thinking 'ghost authorship' was common
  - 43.7% reported thinking plagiarism was common

Renzong Qiu
Bioethicist at the Chinese Academy of Social Sciences' Institute of Philosophy in Beijing

- *…there is a massive market for buying and selling authorships of academic papers (2015)*

Wei Yang
Director of the National Natural Science Foundation of China in Beijing

- *…in China, famous scientists are often invited to be an author of a paper in order to boost the chance of its acceptance…*

- *Similarly, government officials who pursue a part-time PhD are often offered authorships on projects [in which] they did not participate. Such cases clearly constitute academic misconduct. (2015)*

CHINESE ACADEMY OF SCIENCES

Chunfa Wang
Executive Secretary of the Chinese
Association of Science and Technology in
Beijing

- *Ghost or guest authorships are dangerous practice. In addition to ethical concerns, they are misleading, turning nonexperts into experts, especially under the current evaluation system in China. This can affect long-term research directions and grant allocations. (2015)*

The Causes?

- Academics around the world are under increasing pressure to produce research
  - Fear these pressures will corrode research integrity voiced in many countries

- Uneven mix of policies and practices
  - Some legitimate
  - Some context-specific and appropriate
  - Some misconduct/corrupt

Some of the variables

- ## DISCIPLINE
  - *…not always clear or appropriate that the criteria for authorship should be the same across different disciplines. (Kalichman, 2011)*

- ## CULTURE
  - *it is… necessary to explore the role of local institutional and cultural contexts in failing to close the gap between conforming to globally acknowledged criteria [ICMJE guidelines] and the actual situation on the ground where they should be applied. (Yukawa et al., 2014)*

- ## HIERARCHY
  - *…the [Hong Kong survey of social scientists] shows that power ordering, where author order is decided by considerations of hierarchy and management control within research rather than intellectual contribution, is also widely practised. (Macfarlane, 2015)*

- 'publish or perish' culture in Chinese universities may have incentivised forms of academic misconduct conducive to publishing large quantity of papers of low quality…
  - Jane Qiu (2010)

nature
International weekly journal of science

关系

Guanxi networks

- Publication ethics
  - *operation of guanxi networks* [as part of 'danweization'] *is so entrenched that it raises questions about the integrity of knowledge production and academic autonomy in China...*
    - Hongtao Li & Chin-Chuan Lee (2014)

急功
近利

- *jigong jinli*
  - seeking quick success and short-term gain
    - Zeng Guoping, 曾国平, Director of Institute of Science Technology and Society, Tsinghua University (2010)
      http://www.nature.com/news/2010/100112/full/463142a.html

What could journals do?

- Public policy of who should be listed as an author
- Require all authors to sign a statement of authorship
- Check claims
- Restrict industry-sponsored ghosting

Public policy of who should be listed as an author

- *...**all journals should have a basic policy on what they consider qualifies someone to be an author** of a research paper...*

- *This policy should be **stated clearly** in the journal's information for authors.*

- *If the policy is based on the [work of another group] that should be stated.*

C|O|P|E   COMMITTEE ON PUBLICATION ETHICS
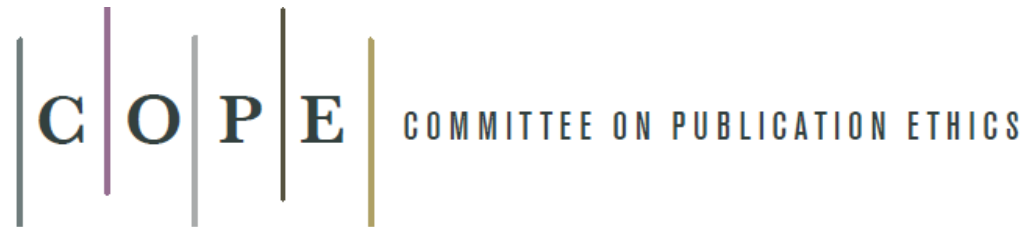
What constitutes authorship? COPE Discussion Document

COPE Council
9 June 2014

Require all authors to sign a statement of authorship

- Journals should… consider requesting all named authors sign a **statement of authorship** as a condition of publication…
  - A declaration that
    - that person, and all other named **authors, fulfil** the **authorship criteria** found in journal's authorship policy
    - no-one deserving of authorship have been **omitted**
    - that person takes **responsibility** for integrity of the paper

Require all authors to sign a statement of authorship

- Journals should… consider requesting all named authors sign a statement of authorship as a condition of publication…
  - Statement of what exactly that person **contributed** to the paper
    - **Free text** not tick-box ☑
    - Journals should consider publishing this information
  - Agreement about **order of authors**

A Systematic Review of Research on the Meaning, Ethics and Practices of Authorship across Scholarly Disciplines

Ana Marušić[1]*, Lana Bošnjak[2], Ana Jerončić[1]

- Marušić A, Bošnjak L, Jerončić A (2011) A Systematic Review of Research on the Meaning, Ethics and Practices of Authorship across Scholarly Disciplines. PLoS ONE 6(9): e23477. doi:10.1371/journal.pone.0023477

- Author Contributions
  - Conceived and designed the experiments: AM. Performed the experiments: AM LB AJ. Analyzed the data: AM LB AJ. Contributed reagents/materials/analysis tools: AM LB AJ. Wrote the paper: AM. Critical revision of the manuscript: LB AJ.

Check claims

- **Contributors who are not authors**
  - Individuals who meet only some of the criteria could be listed in **acknowledgment**
  - COPE recommends these also sign a **declaration** of agreement
    - acknowledgment may imply the individual **endorses** the work
    - **check contributor did not deserve authorship** and had not been pushed out to 'ghost collaboration' (Shaw & Elger, 2017)
    - practice of using acknowledgements to remove potentially negative **reviewers**

- **Gift authorship**
  - Journals might also **send correspondence about submitted paper to all named authors**
    - Reduce possibility that some included without their **consent**
    - Remind authors of **definition and responsibilities** of authorship

Restrict industry-sponsored ghosting

- **Certification that the authors**
  - or other individuals associated with the study had **not received money** or in-kind payments from **industry** sponsors or its agents in lead up to manuscript submission, and
    - International Committee of Medical Journal Editors.
  - **had access to**
    - study **design**,
    - raw **data**,
    - data **analyses**,

    and that the authors take full **responsibility** for scientific validity of the study.
    - Mansi et al. (2012)

What requirements **are** journals imposing?

- Wu and Zou (2015)
  - *Review of **229 Chinese-language biomedical journals** from A Guide to the Core Journals of China*
  - **most journals (86%) listed authorship criteria**
    - ✕ 33
    - ✓ 196
  - Higher than a random sample of 600 from JCR at 62.5% (Resnik et al., 2016)
  - **None reflected 2013 ICMJE Recommendations on authorship**

The ethical issues in instructions for authors of Chinese biomedical journals

Yang WU and Qiang ZOU
Shanghai Jiaotong University School of Medicine

Resnik et al. (2016) review of authorship policies of 375/600 journals

(the 375 that had policies)

Policy provides guidance on authorship criteria	374 (99.7%)
Policy provides guidance on acknowledgments	365 (97.3%)
Policy requires that authors make substantial contributions	355 (94.7%)*
Policy requires that authors be accountable for the research as a whole	318 (84.8%)*
Policy provides guidance on changes in authorship	292 (77.7%)
Policy requires that authors give final approval to the manuscript:	291 (77.6%)*
Policy requires that authors draft of critically revise the manuscript	269 (71.7%)*
Policy provides guidance on corporate authorship	221 (58.9%)
Policy prohibits gift, guest or ghost authors	119 (31.7%)
Policy requires that authors describe their contributions	20 (5.3%)
Policy limits the number of authors for some types of articles	15 (4.0%)
Policy requires that authors be accountable for their part in the research	4 (1.1%)
Policy provides guidance on equal contribution statements	0 (0.0%)

*Similar to International Committee of Medical Journal Editors' authorship criteria.

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- http://www.ahrecs.com/
  - Resources
  - Research Ethics Monthly blog

關於道德和誠信的建議